

ROCKY FLATS PLANT

Manual No.:

2-11000-ER-ADM

(a.k.a. 3-21000-ADM)

ERM ADMINISTRATIVE  
PROCEDURES MANUAL

Procedure No.:

Table of Contents, Rev 13

Page:

1 of 2

Effective Date:

06/07/93

CATEGORY 1

Organization:

Environmental Restoration

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FOR  
ENVIRONMENTAL RESTORATION MANAGEMENT  
ADMINISTRATIVE PROCEDURES MANUAL

<u>Procedure No.</u>	<u>Title</u>	<u>Rev. No.</u>	<u>Effective Date</u>
01.01	ER Organization		
02.01	Training	0	06/19/92
DCN 93.01	Provide Consistency	0	01/05/93
02.02	Personnel Qualifications	0	08/15/91
03.04	Control of QAA Development	0	09/23/91
04.01	Procurement Document Control	0	04/08/92
05.01	Procedure Development	0	08/02/91
05.03	RFI/RI Work Plan Development	0	08/15/91
05.05	Document Review	0	08/02/91
05.07	Preparation of Procedure Change Notices	1	09/23/91
DCN 92.01	Revision to DCN Expiration Date	1	09/08/92
DCN 93.01	Procedure Consistency	1	01/25/93
05.08	Forms Control	0	09/23/91
05.11	Preparation of Instructions	0	04/08/92
06.01	Document Control	0	08/02/91
DCN 93.01	Add Distribution of Working Copies	0	05/18/93
08.01	Control and Identification of Items, Samples, and Data	0	04/08/92

DOCUMENT CLASSIFICATION REVIEW WAIVER  
PER R.B. HOFFMAN, CLASSIFICATION OFFICE  
JUNE 11, 1991

CLASSIFIED RECORD

**ROCKY FLATS PLANT****Manual No.:****2-11000-ER-ADM****ERM ADMINISTRATIVE  
PROCEDURES MANUAL****Procedure No.:****Table of Contents, Rev 13****Page:****2 of 2****CATEGORY 1****Effective Date:****06/07/93****Organization:****Environmental Restoration**

<b><u>Procedure No.</u></b>	<b><u>Title</u></b>	<b><u>Rev. No.</u></b>	<b><u>Effective Date</u></b>
10.01	Inspections	0	04/08/92
DCN 92.01	Revision to Inspection Reporting Format	0	12/08/92
DCN 93.01	Checklist Approval Revision, Section 5.1.12	0	01/07/93
12.01	Control of Measuring and Test Equipment	0	04/08/92
15.01	Control of Nonconforming Items and Activities	1	10/12/92
16.01	Corrective Action	0	04/08/92
17.01	Quality Assurance Records Management	0	02/28/92
DCN 93.01	Record Transmittal Form Modification	0	03/08/93
*DCN 93.02	Modification of Records Acceptance and Access Control	0	06/07/93
17.02	Administrative Records Screening and Processing	0	12/07/92
18.02	Surveillance Activities	1	04/08/92
18.03	Readiness Review	0	08/02/91
AQD.08	Preparation of EPA Form R	1	10/10/91

# ENVIRONMENTAL MANAGEMENT DOCUMENT CHANGE NOTICE (DCN)

KB 6/14/93  
 2-11000-ER-ADM 1.01, RO  
 3-21000-ADM 7.01, (R) h 6/14/93  
 2-11000-ER-ADM, 17.01, RO

Procedure Number

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Title Quality Assurance Records Management	Date 6.7.93	DCN Number 93.02 <i>SRD</i>
Expires <u>6-7-94</u> Procedure Revision Required <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Scope Limitation <u>None</u>		

Item Number	Page	Step or Paragraph	Changes (Use DCN CONTINUATION SHEET for Additional Space)
<i>SP/193</i> 5.1 /	6	5.1.5	Replace with the following: The Records source shall ensure that QA records are properly authenticated prior to transmittal to the records center. This shall be accomplished by: (1) Stamping, initialing, or signing, and dating the document; (2) providing a written statement of authentication; or (3) issuing a document which is clearly identified as a statement by the reporting individual or organization.
<i>SP/193</i> 2 5.2	6	5.2.1	Add the following after Section 5.2.1: <i>1 R/L 5/21/93</i> Note: QA and non-QA records generated prior to June 30, 1993 are not required to meet the records acceptance criteria identified in Appendix 2.
<i>SP/193</i> 3 5.2	6	5.2.2	Add an additional paragraph: Records generated prior to June 30, 1993 which do not meet records acceptance criteria, shall be stamped Best Available Copy by the Records Custodian and initialed and dated. (Completion of a Best Available Copy Form by the Records Source is not required.)
<i>SP/193</i> 4 5.10	9	<i>5.10,</i> 5.10.1,2	Renumber 5.12, 5.12.1, 5.12.2. <b>DOCUMENT CLASSIFICATION REVIEW WAIVER PER R.B. HOFFMAN, CLASSIFICATION OFFICE JUNE 11, 1991</b>

Justification (Reason for Change – Provide Numbers To Reference Corresponding Items Above)

1 5.1 - No training conducted to date on preparation and acceptance of records; therefore,  
 2 5.2 project participants unaware of requirements. Training to be conducted by 6/30/93.  
 3 5.10, - Correct deficiencies identified in Environmental Sampling Assessment Audit.  
 4 5.11  
 5 5.11  
 6 5.11  
 7 5.11  
 8 App-2 - To clarify and simplify Records acceptance criteria.

Concurrence	Organization	Req	Date	Concurrence	Organization	Req	Date
<i>AD Chinn</i>	QAPM	X	6/4/93	<i>James Williams</i>	User	X	5-20-93
N/A	EOM	X		<i>Donna Sills</i>	EQS		5/21/93

Approval of Responsible Manager <i>Rayne Bortzen</i>	Date 5-20-93	Is Posting Req'd? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, By What Date? <i>upon receipt</i>	Date Posted
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JUN 07 1993

# DOCUMENT CHANGE NOTICE (DCN)

(continuation sheet)

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DCN Number 93.02  
SERD

AD 2-11000-ER-ADM, 17.01, RD

Procedure Number <del>3-21000-ADM, 17.01, RT</del> 2-11000-ER-ADM, 17.01, RO	Title Quality Assurance Records management
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Scope Limitation N/A

Item Number	Page	Step or Paragraph	Changes (Use DCN CONTINUATION SHEET for Additional Space)
<div style="position: relative; height: 100px;"> <div style="position: absolute; left: -40px; top: 0; font-size: 8px;">           5/14/93            5/14/93            5/14/93         </div> </div>	9	5.10	Add a <u>new</u> section 5.10 as follows: 5.10 Records Storage 5.10.1 Records Storage Facility The official, record copy of ERM Department records shall be maintained and stored at the ERM Central Records Center (CRC) located at Interlocken, Building 080. Duplicate copies of authenticated QA records shall be stored at the Rocky Flats Plant.  5.10.2 Records shall be secured in binders, folders, envelopes, or other approved devices as appropriate to protect them from damage, loss, or rearrangement. The records shall be stored in metal cabinets, shelving, or other approved devices.
<div style="position: relative; height: 100px;"> <div style="position: absolute; left: -40px; top: 0; font-size: 8px;">           5/14/93            5/14/93            5/14/93         </div> </div>	10	5.11, 5.11.1, 2, 3, 4, 5	Renumber 5.13, 5.13.1, 5.13.2, 5.13.3, 5.13.4, 5.13.5.
<div style="position: relative; height: 100px;"> <div style="position: absolute; left: -40px; top: 0; font-size: 8px;">           5/14/93            5/14/93            5/14/93         </div> </div>	10	5.11	Add a <u>new</u> section 5.11 as follows: 5.11 Access Control 5.11.1 The ERM Department Records Manager shall maintain a list of personnel with authorized access to the CRC. The access list shall be signed and dated by Manager and posted at the entrance to the CRC.  5.11.2 Individuals not on the list who require access to the CRC shall be escorted at all times by an individual with authorized access.  5.11.3 The ERM Department CRC staff shall ensure that the storage area is locked at the end of each working day or whenever it is left unattended.
<div style="position: relative; height: 100px;"> <div style="position: absolute; left: -40px; top: 0; font-size: 8px;">           5/14/93            5/14/93            5/14/93         </div> </div>	App. 2	14	Replace with new Appendix 2. (attached as pgs. 3 and 4 of this DCN).

Justification (Reason for Change – Provide Numbers To Reference Corresponding Items Above)

APR 5/14/93  
6/4/93

## Appendix 2

### Criteria for Acceptance of Records for Processing

The criteria for acceptability of records are as follows. These criteria apply to all records submitted to the ER Central Records Center (CRC) for processing and retention, except for one-of-a-kind items defined as "records that cannot be duplicated or reproduced by currently available technology."

1. The record must be legible. There must be a clear, distinct image with a sharp contrast between the character or pictorial information recorded and the recording medium (paper).
2. The record must be complete, including all attachments and appendices. No portions of a page can be missing due to tearing or folding of record edges that obliterates recorded information.
3. The record must be paginated.
4. All blocks on records, including signature, must be filled in or "NA" (not applicable) entered.
5. Data on records and drawings shall be recorded with an indelible medium, preferably black ink, against a light background. Pencil (lead) is not an acceptable means of recording information on a record that is to be submitted to the CRC. Blackline drawings are preferred to blueprint or sepia copies. If blue-line or sepia drawings are the only copies available, they must not be folded, but rather rolled for storage or transmittal. They shall be stored on stick files or a flat (plan) file. Creasing the paper creates marks which can obscure data recorded on the drawing.
6. The viewer must be able to read the record without guessing or magnification.
7. To the extent feasible, records shall not contain stamps or other marks that intersect and obliterate the text.
8. The record shall not contain correction fluid or correction tape of any kind.
9. Records must not have any information scratched out and obliterated or other extraneous information hand-written on the record. Corrections shall be made by scribing a single line through the incorrect information using an indelible medium. The correction shall include the date and initials of the person authorized to make such corrections.

NOTE: If new information has been added to a record previously submitted to the CRC, it constitutes a new and separate record.

11. Oversized records (i.e., records with the minimum dimension greater than 14 inches) shall be rolled for transmittal.
12. If photocopies are submitted as the record copy, they must be legible. The copy image must be aligned properly. Optically skewed images are not acceptable. The angle of the record must be truly reproduced on the photocopy. Square corners must appear at right angles.
13. No photo reductions of data are acceptable unless the image is very clear and easily legible. Letters and other characters must be spaced so that the background areas between them are approximately equal. Words shall be clearly separated by space equal to the height of the lettering.
14. Avoid using colored paper as a recording medium. The contrast between the data recorded and the color of the paper is not distinct enough.
15. If the original record is not available for submittal to the records center, the generation of the copy submitted for processing must be as close to the original as possible and not more than two generations from it (i.e., a copy of a copy of the original). Each copy generation removed from the original is of poorer quality.

**NOTE: Technically equivalent criteria will be applied to electronic, color, and photographic media for which the above criteria may not be applicable.**